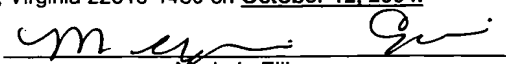


FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE <b>TRANSMITTAL LETTER TO THE UNITED STATES</b>		ATTORNEY DOCKET NUMBER PAT-00361
DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (IF KNOWN SEE 37 RR 15) <div style="font-size: 2em; font-weight: bold; text-align: center;">10/510997</div>
INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED
<b>PCT/EP03/04646</b>	<b>(02.05.2003) 02. May 2003</b>	<b>(11.05.2002) 11. May 2002</b>
TITLE OF INVENTION: <b>AQUEOUS DISPERSION OF INORGANIC NANOPARTICLES, METHOD FOR THE PRODUCTION AND USE THEREOF</b>		
APPLICATION(S) FOR DO/EO/US: <b>Wolfgang BREMSER, Winfried STÜBBE, Elke WESTHOFF, Manuela NIEMEIER, and Andreas POPPE</b>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.		
2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.		
3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) The submission must include items (5), (6), (9) and (21) indicated below.		
4. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).		
5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))		
a. <input type="checkbox"/> are transmitted herewith (required only if not transmittal by the International Bureau).		
b. <input checked="" type="checkbox"/> have been transmitted by the International Bureau.		
c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).		
6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).		
a. <input checked="" type="checkbox"/> Is attached hereto.		
b. <input type="checkbox"/> Has been previously submitted under 35 U.S.C. 154(d)(4).		
7. <input checked="" type="checkbox"/> Amendment to the claims of the International Application under PCT Article 19 (35 U.S.C. 37(c)(3))		
a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).		
b. <input type="checkbox"/> have been communicated by the International Bureau.		
c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.		
d. <input checked="" type="checkbox"/> have not been made and will not be made.		
8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).		
9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).		
10. <input checked="" type="checkbox"/> An English language translation of the annex to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).		
<b>Items 11. to 20. below concern document(s) or information included:</b>		
11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.		
12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.		
13. <input checked="" type="checkbox"/> A FIRST preliminary amendment.		
14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.		
15. <input type="checkbox"/> A substitute specification.		
16. <input type="checkbox"/> A change of power of attorney and/or address letter.		
17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 – 1.825.		
18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).		
19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).		
20. <input checked="" type="checkbox"/> Other items or information: <b>A copies of the cover sheet from the PCT Published Application, and the cover sheet from the Priority Document</b>		
I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. <b>ER 193 007 077 US</b> addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on <b>October 12, 2004</b> .		
 Marjorie Ellis		

U.S. APPLICATION NO. (If known see 37 C.F.R. 1.50) <div style="font-size: 1.5em; font-weight: bold;">10/510997</div>	INTERNATIONAL APPLICATION NO. <b>PCT/EP 03/04646</b>	ATTORNEY'S DOCKET NUMBER <b>PAT- 00361</b>
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21 ☒ The following fees are submitted:

**Basic National Fee (37 CFR 1.492(a)(1)-(5)):**  
 Neither international preliminary examination fee (37 CFR 1.482)  
 Nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
 and International Search Report not prepared by the EPO or JPO..... **\$1,110.00**

International preliminary examination fee (37 CFR 1.482) not paid to  
 USPTO but International Search Report prepared by the EPO or JPO..... **\$ 950.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
 but international search fee (37 CFR 1.44(a)(2)) paid to USPTO..... **\$ 790.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
 but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... **\$ 750.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
 and all claims satisfied provisions of PCT Article 33(1)-(4) ..... **\$ 100.00**

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

**CALCULATIONS** PTO USE ONLY

Surcharge of \$130.00 for furnishing the oath or declaration later <input type="checkbox"/> 20 <input type="checkbox"/> 30 than months from the earliest claimed priority date (37 CFR 1.492(e)).		\$	
<b>Claims</b>	<b>Number Filed</b>	<b>Number Extra</b>	<b>Rate</b>
Total Claims	25 - 20 =	05	X \$ 18.00
Independent claims	01 - 03 =	0	X \$ 88.00
Multiple dependent claims(s) (if applicable)			+ \$300.00
<b>TOTAL OF ABOVE CALCULATION =</b>			<b>\$1,040.00</b>
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are			\$
<b>SUBTOTAL =</b>			<b>1,040.00</b>
Processing fee of \$130.00 for furnishing the English translation later <input type="checkbox"/> 20 <input type="checkbox"/> 30 the months from the earliest claimed priority date (37 CFR 1.492(f)).			\$
<b>TOTAL NATIONAL FEE =</b>			<b>\$1,040.00</b>
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00 per property +</b>			\$
<b>TOTAL FEES ENCLOSED =</b>			<b>\$1,040.00</b>
			Amount to be refunded: \$
			Charged <b>\$1,040.00</b>

a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 02-1201 in the amount of \$1,040.00 to cover the above fees  
 A triplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
 overpayment to Deposit Account No. 02-1201. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card  
 Information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

**BASF CORPORATION**  
 Patent Department  
 26701 Telegraph Road  
 Southfield, Michigan 48034-2442  
 (248) 948-2355  
 Customer No. 26922

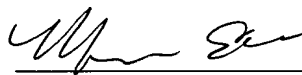
**SIGNATURE**

Michael F. Morgan  
 Name  
42,906  
 REGISTRATION NUMBER

DT05 Rec'd PCT/PTO 12 OCT 2004

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE


In re Application of  Wolfgang BREMSER Winfried STÜBBE Elke WESTHOFF Manuela NIEMEIER Andreas POPPE	Practitioner's Docket No. PAT-00361
Serial No.: This application is a National Phase application of PCT/EP03/04646 filed 2 May 2003.	Group Art Unit: Not Assigned
Filed:	Examiner: Not Assigned
For: Aqueous Dispersion of Inorganic Nanoparticles, Method for the Production and Use Thereof	<p>I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. <b>ER 193 007 077 US</b> addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below.</p> <p>October 12, 2004 Date</p> <p> Marjorie Ellis</p>

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☒ Copy of Cover page of the Priority Document

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<p>Serial No.: This application is a National Phase application of PCT/EP03/04646 filed 2 May 2003.</p>	<p>Group Art Unit: Not Assigned</p>
<p>Filed:</p>	<p>Examiner: Not Assigned</p>
<p>For: Aqueous Dispersion of Inorganic Nanoparticles, Method for the Production and Use Thereof</p>	<p>I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. <b>ER 193 007 077 US</b> addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below.</p> <p>October 12, 2004</p> <p>Date </p> <p>Marjorie Ellis</p>

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<p>X</p>	<p>Patent Application Data Sheet</p>
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10/510997

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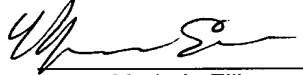
<input checked="" type="checkbox"/>	Copy of cover sheet from the PCT Published Application
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10/510997

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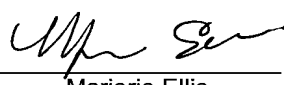
<input checked="" type="checkbox"/> Combined Declaration and Power of Attorney
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☒ English Application

Specification on	<input type="text" value="37"/>	pages;	claims on	<input type="text" value="05"/>	pages;
the abstract on	<input type="text" value="01"/>	page(s);	drawings on	<input type="text"/>	page(s).

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of  Wolfgang BREMSER Winfried STÜBBE Elke WESTHOFF Manuela NIEMEIER Andreas POPPE	<b>Practitioner's Docket No. PAT-00361</b>
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<input checked="" type="checkbox"/>	German Text Application				
Specification on	62	pages;	claims on	08	pages;
the abstract on	01	page(s);	drawings on		page(s).

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<input checked="checked" type="checkbox"/>	International Preliminary Examination Report
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<input checked="" type="checkbox"/>	Information Disclosure Statement
<input checked="" type="checkbox"/>	From PTO-1449
<input checked="" type="checkbox"/>	Cited References
<input checked="" type="checkbox"/>	International Search Report
<input checked="" type="checkbox"/>	Germany International Search Report